

10/25/2019

Attorney General Brian E. Frosh  
idtheft@oag.state.md.us

**Re : JA Glynn & Co**  
**Notification of Security Incident under Maryland Code Ann. Comm. L. § 14-3504**

Dear Attorney General Frosh:

We write to advise you of an incident involving unauthorized access to personal information of 10 Maryland residents who are or were clients of our affiliates JA Glynn Investments, an SEC-registered broker-dealer, or JAG Capital Management, an SEC registered Investment Advisor. We anticipate that consumer notices will be sent by mail on or about 10/25/2019. Through our internal security procedures, we discovered that an employee's email account was compromised on or about April 11, 2019.

The employee's email account contained correspondence relating to maintaining consumer accounts and in some cases attachments. Because of the nature of the involved information that was included in forms in the affected mailbox, determination of the information and individuals involved in the incident took several months and involved a manual process for reconstruction. We were able to determine that the personal information involved included in all cases the individual's name and a financial account number, though in many instances the account had been closed well prior to the incident. For some individuals, the forms also included their Social Security number and date of birth.

All involved individuals will be offered two years of free credit monitoring and identity theft prevention services through Experian.

We engaged an outside cybersecurity firm to assist us in investigating the incident and developing additional, precautionary steps that we believe will mitigate the possibility of any future similar occurrences. These measures include enhanced security features that we have added to our email system, as well as improved internal processes and procedures regarding cybersecurity.

Attached is a copy of the letter to be sent to state resident. We trust that this letter and its enclosures provide you with all the information required to assess this incident and our response. Please contact us at the information below if you have additional questions or if we can be of further assistance.

Sincerely,

Charles E. Dodson | VP/CCO  
JAG Capital Management LLC  
9841 Clayton Road, St. Louis, MO 63124  
Phone 314.997.1277

Attachment

Return Mail Processing  
PO Box 589  
Claysburg, PA 16625-0589

October 15, 2019

E9608-L03-0000002 P001 T00002 \*\*\*\*\*MIXED AADC 159  
SAMPLE A SAMPLE - NON-CS FULL PII  
APT 123  
123 ANY ST  
ANYTOWN, US 12345-6789

**Re: IMPORTANT NOTICE ABOUT YOUR PERSONAL INFORMATION**

Dear Sample B Sample:

I am writing to notify you of a recent security incident that may involve your personal information. Through our internal security procedures, we discovered that an employee's email account was compromised on April 11, 2019. The employee's email account contained correspondence relating to maintaining consumer accounts and in some cases attachments. Although we cannot be certain, we believe some of your personal information may have been accessed, including your name, Social Security number, date of birth and account number.

Unfortunately, security incidents occur at many companies and organizations and are frequently in the news. Hackers target entities with personal information, and some incidents involve thousands or even millions of persons' information.

We take client privacy seriously, and we want to inform you of what we are doing to protect you and what you can do to protect yourself.

We have engaged an outside cybersecurity firm to assist us in developing additional, precautionary steps that we believe will mitigate the possibility of any future similar occurrences. These measures include enhanced security features that we have added to our email system, as well as improved internal processes and procedures regarding cybersecurity.

Additionally, we stand ready to assist you in taking steps to protect yourself from possible unauthorized use of your personal information, and we want to make sure you are aware of the resources that are available to you to diminish any inconvenience you may experience.

To help protect your identity, we are offering a complimentary two-year membership of Experian's® IdentityWorks<sup>SM</sup>. This product provides you with identity detection and resolution of identity theft. To activate your membership and start monitoring your personal information please follow the steps below:

- Ensure that you enroll by: 01/31/2020 (Your code will not work after this date.)
- Visit the Experian IdentityWorks enroll at: [www.experianidworks.com/credit](http://www.experianidworks.com/credit)
- Provide your activation code: **ABCDEFGHI**



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